

SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Evelyn, et al Attorney Docket: 2955/103
Serial No: 09/668,255 Art Group Unit: 3694
Date Filed: 09/21/2000 Examiner Name: Greene, Daniel
Invention: System and Method for Pricing and Allocation of Commodities or Securities

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE STATEMENT

OTHER DOCUMENTS			
Examiner Initials	Reference Number	Author	Title of Article, Title of Journal, Volume Number, Page Numbers, Date
	104	Hyatte, Michael	Letter to SEC dated 7/20/2000, 2000 WL 1013584 (S.E.C. Action Letter)
	105	Ausubel, L.M., et al	"Auctioning Securities", Working Paper, Dept. of Economics, University of Maryland, March 1998
	106	Biais, B., et al	"IPO Auctions: English, Dutch, . . . French, and Internet", <i>Journal of Financial Intermediation</i> 11, pp. 9-36 (2002)
	107	Chemmanur, T.J., et al	"How Should a Firm Go Public? A Dynamic Model of the Choice Between Fixed-Price Offerings and Auctions in IPOs and Privatizations". EFA 2003 Annual Conference Paper No. 366.

(Information Disclosure Statement--page 4 of 7)



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	108	Sherman, A.	"Global Trends in IPO Methods: Book Building vs. Auctions", <i>Journal of Financial Economics</i> , Vol. 78, Issue 3, Dec. 2005, pp. 615-649
	109	Vickrey, W.	"Counterspeculation, Auctions, and Competitive Sealed Tenders", <i>The Journal of FINANCE</i> , The American Finance Association, Vol. XVI, 1961
	110	Vickrey, W.	"Auction and Bidding Games" Recent Advances in Game Theory, 1962 - Princeton University Press

Examiner Signature: /Daniel Greene/Date Considered: 02/27/2008

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation *if not* in conformance and not considered. Include copy of this form with next communication to applicant.